

Serial No. 10/674208

IN THE UNITED STATES  
PATENT AND TRADEMARK OFFICE

**PATENT APPLICATION**

Inventor(s): **Dong Lin**

Case: **2**

Serial No.: **10/674208**

Filing Date: **September 29, 2003**

Examiner:

Group Art Unit:

Title: **Method And Apparatus For Defending Against SYN Packet  
Bandwidth Attacks On TCP Servers**

**COMMISSIONER FOR PATENTS**

**P.O. BOX 1450**

**ALEXANDRIA, VA 22313-1450**

**SIR:**


**INFORMATION DISCLOSURE STATEMENT**  
**UNDER 37 CFR 1.97(b)**

In accordance with 37 CFR 1.97(b), the enclosed Information Disclosure Statement, with attached reference(s), is submitted for consideration in the above-identified application. Copies of the listed documents are enclosed together with the search report that listed these documents.

**NO FEE IS REQUIRED**

In the event of any non-payment or improper payment of a required fee, the Commissioner is authorized to charge or to credit **Lucent Technologies Deposit Account No. 12-2325** as required to correct the error.

Respectfully,

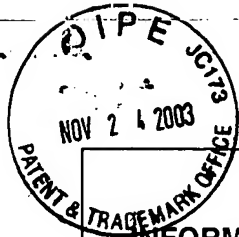
  
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**Kenneth M. Brown, Attorney**  
**Reg. No. 37590**  
**908-582-5998**

Date: 11/19/03

**Docket Administrator (Room 3J-219)**

**Lucent Technologies Inc.**  
**101 Crawfords Corner Road**  
**Holmdel, NJ 07733-3030**

Date of Deposit <u>11/19/03</u>	
I hereby certify that this correspondence is being deposited with the United States Postal Service First Class Mail in an envelope addressed to: Mail Stop <u>Patent Application</u> Commissioner for	
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<u>Susan A. Schuchard</u>	<u>Francis R. J.</u>
Printed name of person mailing paper or fee	Signature of person mailing paper or fee



<b>INFORMATION DISCLOSURE STATEMENT</b>	Case Name.	D. Lin 2
	Serial No.	10/674208
	Applicant:	D. Lin, et al.
	Filing Date:	September 29, 2003
	Group:	

**U.S. PATENT DOCUMENTS**

*Examiner Initial	Document Number	Date	Name	Class	Subclass	Filing Date
AA	10/668952		Lin, D.			9/23/2003

**FOREIGN PATENT DOCUMENTS**

Document Number	Date	Country	Class	Subclass	Translation

**OTHER (including Author, Title, Date, Pertinent Pages, etc.)**

AB	Bernstein, D.J., "SYN Cookies," <a href="http://cr.yp.to/syncookies.html">http://cr.yp.to/syncookies.html</a>
AC	CERT Coordination Center, "TCP SYN Flooding And IP Spoofing Attacks," Sept., 1996. <a href="http://www.cert.org/advisories/CA-1996-21.html">http://www.cert.org/advisories/CA-1996-21.html</a>
AD	Lemon, J. "Resisting SYN Flood DoS Attacks With A SYN Cache," USENIX BSDCon 2002 Conference, San Francisco, CA. <a href="http://people.freebsd.org/~jlemon/papers/syncache.pdf">http://people.freebsd.org/~jlemon/papers/syncache.pdf</a>
AE	Lin, D., "Internet Congestion Control: Cooperative End-System And Gateway Algorithms," Ph.D Thesis, Harvard University, 1998. <a href="http://www.eecs.harvard.edu/~dong/lin-thesis.ps">http://www.eecs.harvard.edu/~dong/lin-thesis.ps</a>
AF	"Transmission Control Protocol," prepared for Defense Advanced Research Projects Agency by Information Sciences Institute, J. Postel, Editor, Request for Comments (RFC) 793, September, 1981. <a href="http://www.faqs.org/rfcs/rfc793.html">http://www.faqs.org/rfcs/rfc793.html</a>
AG	RAZOR Security Team, "The Naptha DoS Vulnerabilities," Nov., 2000. <a href="http://razor.bindview.com/publish/advisories/adv_NAPTHA.html">http://razor.bindview.com/publish/advisories/adv_NAPTHA.html</a>
AH	"Requirements For Internet Hosts - Communication Layers," Internet Engineering Task Force, R. Braden, Editor, Network Working Group, Request for Comments (RFC) 1122, Section 4.2.3.6, October 1989. <a href="http://www.faqs.org/rfcs/rfc1122.html">http://www.faqs.org/rfcs/rfc1122.html</a>

\*\*\*References listed beyond AZ would list as AA-1, AB-2, AC-3 thru AZ-26.

\*\*\*Note First Page ONLY Header/Footer. Subsequent pages must ONLY have page # layout as header

<b>EXAMINER</b>	<b>DATE CONSIDERED</b>

**\*Examiner:** Initial if reference considered, whether or not citation is in conformance with MPEP 609: Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant